

Inventor: Toshiro HIRAMOTO, et al
Application No.: 09/389,321
Filed: September 3, 1999
Title: MOS TRANSISTOR WITH A CONTROLLED THRESHOLD VOLTAGE

Case No.:

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VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL-ENTITY STATUS

1. I, the undersigned, do hereby declare that:

- a. ☐ I am an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office with regard to the invention described in the patent or application identified above; OR
- b. ☐ While I am not an inventor, I declare that rights under contract or law have been conveyed to and remain with me with regard to the invention described in the patent or application identified above. I would qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying fees to the United States Patent and Trademark Office if I had made the invention; OR
- c. ☐ I am the owner of the small business concern identified below OR
☐ I am an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS: _____

ADDRESS OF SMALL BUSINESS: _____

If either of the boxes in item (c) is checked, I further declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.1301 through 121.1305, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both. I further declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in the patent or application identified above; OR

- d. ☒ I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION: THE UNIVERSITY OF TOKYO

ADDRESS OF NONPROFIT ORGANIZATION: 3-1, Hongo 7-Chome, Bunkyo-Ku,

TYPE OF NONPROFIT ORGANIZATION: Tokyo, Japan

- ☒ university or other institution of higher education; OR
- ☐ tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)); OR
- ☐ nonprofit scientific or educational organization qualified under a nonprofit organization statute under a statute of a state of the United States of America
(name of state: _____)
(citation of statute: _____); OR
- ☐ would qualify as tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)) if located in the United States of America; OR
- ☐ would qualify as nonprofit scientific or educational organization qualified under a nonprofit organization statute under a statute of a state of the United States of America if located in the United States of America
(name of state: _____)
(citation of statute: _____)

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2 頁目 (99069)

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If Box (d) is checked, I further declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in the patent or application identified above.

2. The individual, concern or organization identified above has not assigned, granted, conveyed or licensed, and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).
3. If the rights held by the above-identified individual, concern or organization are not exclusive, each individual, concern or organization having rights in the invention are identified below. Each such individual, concern or organization must file separate verified statements averring to their status as small entities.

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

FULL NAME: _____
ADDRESS: _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME: _____
ADDRESS: _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

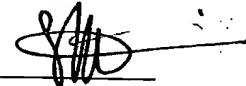
4. I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small-entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Shigehiko HASUMI
TITLE OF PERSON (if not an owner or individual): President
ADDRESS OF PERSON SIGNING: 3-1, Hongo 7-Chome, Bunkyo-Ku, Tokyo, Japan

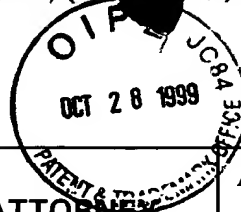
NAME OF PERSON SIGNING: _____
TITLE OF PERSON (if not an owner or individual): _____
ADDRESS OF PERSON SIGNING: _____

NAME OF PERSON SIGNING: _____
TITLE OF PERSON (if not an owner or individual): _____
ADDRESS OF PERSON SIGNING: _____

SIGNATURE: SHIGEHICO HASUMI 
DATE: September 28, 1999

SIGNATURE: _____
DATE: _____

SIGNATURE: _____
DATE: _____

**COMBINED DECLARATION AND POWER OF ATTORNEY
FOR UTILITY PATENT APPLICATION**

Attorney's Docket No.

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I BELIEVE I AM THE ORIGINAL, FIRST AND SOLE INVENTOR (if only one name is listed below) OR AN ORIGINAL, FIRST AND JOINT INVENTOR (if more than one name is listed below) OF THE SUBJECT MATTER WHICH IS CLAIMED AND FOR WHICH A PATENT IS SOUGHT ON THE INVENTION ENTITLED:

MOS TRANSISTOR WITH A CONTROLLED THRESHOLD VOLTAGE

the specification of which

(check one)

☐

is attached hereto;

☒

was filed on September 3, 1999 as

Application No. 09/389,321

and was amended on _____;
(if applicable)

I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE;

I ACKNOWLEDGE THE DUTY TO DISCLOSE TO THE OFFICE ALL INFORMATION KNOWN TO ME TO BE MATERIAL TO PATENTABILITY AS DEFINED IN TITLE 37, CODE OF FEDERAL REGULATIONS, Sec. 1.56 (as amended effective March 16, 1992);

I do not know and do not believe the said invention was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to said application; that said invention was not in public use or on sale in the United States of America more than one year prior to said application; that said invention has not been patented or made the subject of an inventor's certificate issued before the date of said application in any country foreign to the United States of America on any application filed by me or my legal representatives or assigns more than twelve months prior to said application;

I hereby claim foreign priority benefits under Title 35, United States Code Sec. 119 and/or Sec. 365 of any foreign application(s) for patent or inventor's certificate as indicated below and have also identified below any foreign application for patent or inventor's certificate on this invention having a filing date before that of the application(s) on which priority is claimed:

COMBINED DECLARATION AND POWER OF ATTORNEY

Attorney's Docket No.

COUNTRY/INTERNATIONAL	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED
Japan	11-58,958	5 March, 1999	YES _x NO
			YES NO
			YES NO
			YES NO
			YES NO
			YES NO
			YES NO
			YES NO

I hereby appoint the following attorneys and agent(s) to prosecute said application and to transact all business in the Patent and Trademark Office connected therewith and to file, prosecute and to transact all business in connection with international applications directed to said invention:

William L. Mathis	17,337	Ralph L. Freeland, Jr.	16,110	William C. Rowland	30,888
Peter H. Smolka	15,913	Robert G. Mukai	28,531	T. Gene Dillahunt	25,423
Robert S. Swecker	19,885	George A. Hovanec, Jr.	28,223	Anthony W. Shaw	30,104
Platon N. Mandros	22,124	James A. LaBarre	28,632	Patrick C. Keane	32,858
Benton S. Duffett, Jr.	22,030	E. Joseph Gess	28,510	Bruce J. Boggs, Jr.	32,344
Joseph R. Magnone	24,239	R. Danny Huntington	27,903	William H. Benz	25,952
Norman H. Stepno	22,716	Eric H. Weisblatt	30,505	Peter K. Skiff	31,917
Ronald L. Grudziecki	24,970	James W. Peterson	26,057	Richard J. McGrath	29,195
Frederick G. Michaud, Jr.	26,003	Teresa Stanek Rea	30,427	Matthew L. Schneider	32,814
Alan E. Kopecki	25,813	Robert E. Krebs	25,885	Michael G. Savage	32,596
Regis E. Slutter	26,999	Robert M. Schulman	31,196	Gerald F. Swiss	30,113
Samuel C. Miller, III	27,360				

and: _____

Address all correspondence to:

Robert G. Mukai
BURNS, DOANE, SWECKER & MATHIS, L.L.P.
 P.O. Box 1404
 Alexandria, Virginia 22313-1404

Address all telephone calls to: Robert G. Mukai at (703) 836-6620.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF SOLE OR FIRST INVENTOR Toshiro HIRAMOTO	SIGNATURE <i>Toshiro Hiramoto</i>	DATE Sept. 28, 1999
RESIDENCE Yokohama City, Kanagawa Pref., Japan	CITIZENSHIP Japanese	
POST OFFICE ADDRESS 5-1-605, Kosugaya 1-Chome, Sakae-Ku, Yokohama City, Kanagawa Pref., Japan		
FULL NAME OF SECOND JOINT INVENTOR, IF ANY Makoto TAKAMIYA	SIGNATURE <i>Makoto Takamiya</i>	DATE Sept. 28, 1999
RESIDENCE Adachi-Ku, Tokyo, Japan	CITIZENSHIP Japanese	
POST OFFICE ADDRESS 14-9-211, Senju 4-Chome, Adachi-Ku, Tokyo, Japan		